EXECUTIVE SUMMARY

Intervening with Substance-Abusing Offenders: A Framework for Action

The Report of the National Task Force on Correctional Substance Abuse Strategies

June 1991

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This document is the executive summary of *Intervening with Substance-Abusing Offenders:* A *Frameworkfor Action, the* report of the National Task Force on Correctional Substance Abuse Strategies. The report recommends approaches to planning, implementing, and managing correctional substance abuse programs and describes some programs having components that illustrate effective approaches.

Although the reported strategies evidence both strengths and weaknesses, they represent the best available approaches thus far developed for correctional populations.

Convened in September 1989 by the National Institute of Corrections, U. S. Department of Justice, the task force was made up of representatives of federal agencies whose functions include correctional substance abuse programming; state and local correctional practitioners; and researchers, clinicians, and other experts in correctional substance abuse. The goal of the task force was to describe the problem, suggest approaches for coping with it, and recommend resources to use when developing correctional substance abuse programs.

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Foreword

The National Institute of Corrections is pleased to make available this executive *summary* of *Intervening with Substance-Abusing Offenders: A Framework for Action* to correctional practitioners and policymakers. This executive summary and the full report are the result of the work of the National Task Force on Correctional Substance Abuse Strategies. The task force was composed of correctional practitioners representing jails, prisons, and community corrections, as well as researchers and substance abuse treatment specialists and representatives from six federal agencies: Bureau of Justice Assistance, Department of Health and Human Services, Federal Bureau of Prisons, National Institute of Corrections, Office of Justice Programs, and the Office of National Drug Control Policy.

This executive summary synopsizes recommended approaches to planning, implementing, and managing correctional substance abuse programs. Several major themes highlight the recommendations in the full report, including:

- There are effective treatment programs for offenders which counter the "nothing works" beliefs held in previous years;
- Rather than competing, security and treatment should co-exist and complement each other;
- There is a need for careful assessment and proper placement of offenders in the most potentially helpful programs;
- Systematic approaches and linkages should be established to provide a continuum of information and services; and
- A variety of accountability and evaluation procedures and criteria should be used to measure the success of programs, not just recidivism.

It is the hope of the National Institute of Corrections and the Bureau of Justice Assistance, cosponsors of this project, that correctional practitioners will find this executive summary and the full report valuable in guiding them in the development of effective substance abuse programs that recognize the unique environment of corrections.

M. Wayne Huggins

Director National Institute of Corrections

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Acknowledgments

The publication *Intervening with Substance-Abusing Offenders: A Framework for Action* and its executive summary are the results of the fine work and contributions of the National Task Force on Correctional Substance Abuse Strategies. The task force members worked tirelessly in meeting the short timelines placed on them and gave freely of their time and expertise. I deeply appreciate their efforts, the quality of their work, and their commitment to help their peers in corrections develop effective substance abuse programs for offenders. They recognized the need to address substance-abusing offenders from a systems perspective that incorporates treatment needs and linkages from the community, across correctional agencies, and return of the offender to the community. They were visionary in their recommendations.

In addition to the task force members, I want to thank the resource persons who readily gave of their time and participated in task force meetings and the consultants who assisted in writing the initial portions of the report. A special thanks goes to the editor, Karen Fisher, who struggled through with the Academy staff in bringing this project to closure.

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Lastly, I would like to acknowledge John Gregrich, Bureau of Justice Assistance, for his continued support; M. Wayne Huggins, Director of the National Institute of Corrections; and Richard Weatherbee, Assistant to the Attorney General, for their commitment to this project and to its importance to corrections.

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Introduction

Substance abuse continues to be a serious problem among the criminal population. Reports from around the nation cite statistics indicating that as many as 80 percent of criminal offenders are substance abusers and that substance abuse accelerates the level of criminal activity among those already involved in crime.

Intervention with substance-abusing offenders is critical to their rehabilitation; however, with this population intervention requires a broader focus than substance abuse treatment alone and must assure public safety and institutional security. In addition to developing awareness of the problem, social skills, values, and practical skills among these offenders; officials must also closely supervise their activities and constantly monitor them for substance abuse, whether they are in institutional or community-based programs.

A blend of control-incarceration or intensive community supervision treatment in corrections is both effective and necessary to affect long-term substance abuse and associated criminal behavior. Further, research indicates that the use of incentives and sanctions can be effective, in part because they assure that offenders stay in treatment longer length of treatment is a key factor in positive outcomes.

Substance abuse interventions must also be viewed from a systems perspective. Such a view requires intra-agency and interagency cooperation in intervention planning, implementation, and evaluation. Intervention strategies should be implemented at all major "impact points" in the correctional system - pre-trial, probation, jail, prison, and parole-and should be coordinated as the offender progresses through all phases of the system. In addition, various components within a single system must coordinate their efforts with those of other components to ensure effective intervention.

Although many jurisdictions are struggling just to cope with their burgeoning offender populations, all jurisdictions should initiate, to the extent their resources allow, some degree of planning and program development directed toward reducing the rate of substance abuse. Strategies should also represent jurisdictions' own philosophy and goals for substance-abusing offenders, as well as address each jurisdiction's unique problems.

In planning and managing correctional substance abuse programs, administrators, planners, policymakers, community leaders, clinicians, and others should address the following essential areas: assessment, programming, linkages, staff, environment, and accountability. Each of these areas, identified as critical by the task force, is addressed in greater detail in the remainder of this summary. A comprehensive discussion can be found in the task force's full report, *Intervening with Substance-Abusing Offenders: A Framework for Action.*

Assessment

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GOAL: Assess offenders' needs for supervision, control, and service, especially with regard to substance abuse.

Assessment is the specific diagnostic process that determines both specific treatment needs and risk. Evidence demonstrates that for substance abusing offenders, incentives and sanctions can be very effective. Correctional systems nationwide have developed treatment programs that utilize an incentive and sanction approach, both in institutions and in the community. These programs yield higher retention in treatment and lower relapse rates. Although most observers agree that treatment can effectively reduce drug-taking and drug-seeking behavior, it is not yet clear what kind of treatment works best for specific clients.

Risk assessment is especially important for probation departments that must recommend appropriate dispositions to the court. The degree of perceived risk is reflected in the intensity of supervision and monitoring recommended and in the attempt to find treatment that is both appropriate for the offender and consistent with public safety.

*Identify, develop, and implement a standardized, comprehensive method for assessing alcohol and substance abuse appropriate to the specific offender population.

Standardized instruments provide a degree of uniformity and fairness in assessing offenders' substance abuse. These instruments furnish a consistent way to deal with large caseloads and generate an information base to use for future planning. Assessment instruments can be misused, however, if they allow a mechanical approach to complex problems, if they have not been validated, or if they are used for purposes or with populations other than those for which they have been designed.

In considering the available assessment instruments, it is important to evaluate each tool's specific focus, how this focus is measured, and the reliability and validity of both the questions asked and the responses anticipated. Stating the instrument's rationale and pm-pose in writing clarifies its objectives, which in turn helps determine its appropriate use and serves as an evaluation benchmark. To adequately assess the needs of substance-abusing offenders, an assessment instrument must address, at a minimum, the status and development of the offenders' drug use and criminal careers and the degree to which the offender has a stake in conforming with societal norms.

The following instruments are in the public domain and are among those mostly commonly used to assess offenders' needs:

- The Wisconsin Uniform Substance Abuse Screening Battery - used to match offenders with appropriate interventions;
- Addiction Severity Index assesses offender's discomfort level in seven problem areas associated with drug use;
- Client Management Classification used to determine the proper supervision level and service needs of adult probation, parole, and institution populations; and
- **Drug Offender Profiles** Examines the relationship between offenders' drug use and criminal behavior in order to match them with appropriate levels of treatment and supervision.

Other instruments are used to assess behavior that increases offenders' risk of HIV infection.

*Assess offenders at the earliest possible stage and throughout their involvement with the correctional system.

Assessment that is conducted early and repeated regularly helps to counter the potential for manipulation by the offender and to track the effectiveness of treatment initiatives. Regular reassessment indicates the offender's progress and allows for adjustment of treatment plans.

*Record assessment data in a cumulative assessment management file, collect them in automated networks, and use them for management, evaluation, and research.

Systematic data collection and standardized databases are essential for evaluating program effectiveness. Documented information collection procedures ensure data integrity, reliability, and credibility. Automated information systems facilitate data analysis and thus improve the effectiveness of treatment-matching.

The minimum data collected for each client should include offender demographics, past and current drug use, criminal history, information on each of the areas measured by the particular assessment instrument, the intervention recommended, the intervention used, and data regarding the offender's progress, reassessment, and termination.

ADDITIONAL RECOMMENDATIONS

- * Validation studies of assessment instruments used with substance-abusing offenders should be conducted.
- * Assessment of offenders' substance abuse needs, including treatment and management, must be based on comprehensive validated instruments. When existing instruments cannot be validated, new instruments should be developed.
- *HIV-risk assessment should be a routine part of all assessments conducted with all substance-abusing populations.
- * Each correctional system should establish written policies and procedures regarding HIV-risk assessments and referrals.

Programming

GOAL: Provide a range of quality programs to meet offenders' control, supervision, and treatment needs.

Substance abuse is pandemic among offenders with whom substance abuse treatment can be effective for rehabilitation; therefore, substance abuse treatment should be an integral part of all institutional and community corrections activities. There is substantial evidence that substance abuse treatment is effective. In the correctional setting, treatment provides the opportunity to confront offenders with the consequences of drug use, reduces the denial that can undermine participation in program activities, and helps offenders develop effective life skills.

* Develop individualized, multidisciplinary treatment plans that address the full range of supervision, control, habilitation, and rehabilitation needs.

An individualized treatment plan should be developed for offenders within one week of their admission to a program. Because substance abuse affects many dimensions of offenders' lives, the plan should involve a variety of services, including education, vocational training, mental health, health, and security. The plan should identify the offender's critical problems related to substance abuse and should define long-term and short-term strategies for addressing those problems. Measurable behavioral criteria for identifying successful completion of each treatment segment enables team members to monitor offenders' progress.

* Match offenders with supervision, control, and treatment programs appropriate to their assessed needs and perceived risks (treatment-matching).

For treatment to be most effective, offenders should be assigned to the level of substance abuse intervention consistent with their needs. Some

offenders are unsuitable for treatment antisocial characteristics, neuropsychological impairment, and psychiatric illness are among the attributes that frequently lead to poorer treatment outcomes.

In institutions, classification staff usually screen offenders to determine their eligibility for placement in a treatment setting and to assess their escape risk. Additional screening to examine mental health symptoms or recent violent or aggressive behavior is essential for making program decisions. The Client Management Classification system and the Wisconsin Uniform Substance Abuse Screening Battery, both listed in the Assessment section, can be used to identify offenders that may require more intensive program supervision and structure.

* Provide a range of services, from drug education to intensive residential programs, for substance abusing offenders.

A range of service options is necessary to accommodate individual differences. Services should include assessment, self-help groups, drug education and information, counseling, comprehensive drug treatment, and intensive therapeutic communities. In all treatment approaches, frequent, random urinalysis is a strong deterrent to relapse for drug-dependent offenders. Continuity of care should also be an important concern as offenders move through the system.

* Provide drug education services for all offenders.

The vast majority of offenders (estimates are as high as 80 percent) have substance abuse problems related to their criminal activity and could directly benefit from drug education. But even the 20 percent who apparently do not abuse drugs should be exposed to alcohol and drug education as a preventive measure. Drug education is especially important because of the possibility of spreading acquired immune deficiency syndrome (AIDS) through intravenous drug use.

* Enhance pre-release treatment programming.

Intensive prerelease programs have been among the most successful of correctional approaches to substance abuse. Intensive programming

throughout offenders' incarceration is usually cost-prohibitive, and progress is difficult to maintain when offenders return to the antisocial, pro-drug attitudes prevalent in the general prison population. Programs instituted prior to offenders' release can begin a change process that can be continued in the community, especially when community treatment counselors and parole officers are involved in post-release treatment planning and when follow-up treatment is required.

* Use an integrated staffing approach to deliver treatment.

Treatment and security staff must cooperate to assure program effectiveness. Treatment staff should be sensitive to the security concerns raised by offender movement in conjunction with treatment programs, and security staff should be educated about substance abuse issues so that they can contribute to the treatment program, rather than inhibit it. Cross-training of security and treatment staff is essential for minimizing potential conflicts between these groups. Community treatment and supervision agencies should also participate in mutual training and support activities.

*Provide incentives and sanctions to increase offenders' motivation for treatment.

Offenders tend to respond to a tangible and immediate reward/punishment approach to initiating and maintaining their commitment to treatment. Incentives can include good-time credits, more desirable environments, more visitor time, and additional privileges. Sanctions include withholding privileges and personal freedom.

* Increase the availability of self-help groups as an adjunct to treatment and as an integral part of aftercare.

Groups like Alcoholics Anonymous (AA) and Narcotics Anonymous (NA) for offenders can support the effort to intervene in substance abuse by communicating strength and hope to offenders, who are often pessimistic about their future. These groups provide an alternative to a drug-involved system of relationships and can serve as an "adopted family" in which prosocial values and behaviors are supported,

* Provide targeted treatment programs for special needs populations.

Knowledge of specific populations enables correctional treatment professionals to design programs that target the needs most commonly observed in specific groups. Some groups that need specialized substance abuse programming include women, pregnant women, HIV-positive offenders, sex offenders, the elderly, non-English-speaking offenders, the mentally ill, and minorities.

* Provide education and treatment for relapse prevention.

Treatment does not "cure" substance abuse but provides a means for coping. Relapse prevention training helps offenders combat the tendency to return to drugs and crime by helping them recognize the early warning signs that a relapse is about to occur and teaching them how to take steps to prevent the relapse. Relapse prevention training helps offenders deal with high-risk situations, self-defeating behaviors and attitudes, and drug cravings.

ADDITIONAL RECOMMENDATIONS

- * Federal, state, and local governments should invest in funding demonstration projects for developing model programs and treatment systems for substance- abusing offenders.
- * An annual conference should be held to disseminate and share information and to promote new ideas among those involved in the delivery of correctional substance abuse programming.
- *Frequent urinalysis testing to document progress in recovery or relapse should be an integral part of every substance abuse program.

- * The use of incentives and sanctions, including correctional incentives and sanctions with offenders, should be an integral part of any correctional substance abuse program.
- * Technical assistance resources should be readily available to correctional jurisdictions for development, design, assessment, training, and other activities related to correctional substance abuse programming.

GOAL: Provide linkages to assure effective communication across the entire correctional system, including community-based agencies, for transmitting information and coordinating services.

The correctional system is, in reality, a loose-knit cluster of independent entities and agencies with separate justice responsibilities. However, if the system as a whole is to affect crime and substance abuse, these individual entities must work in concert by establishing linkages for sharing information about offenders' treatment and control needs. On the policy level, agencies should develop agreements to conduct joint informational meetings, forums for correctional and treatment providers, and joint training. On the operational level, linkages can include joint staff meetings and goal setting for offenders.

* Cumulative information should follow the offender from the earliest impact point throughout the system.

Documentation of information regarding an offender should begin when an offender first makes contact with the correctional system and should be transmitted from agency to agency as the offender progresses through the system. Efficient transmission of information saves the time of gathering new information and helps assure that offenders receive needed programs.

* Relevant assessment and treatment information should be shared with all substance abuse treatment programs providing service to the offender.

Sharing offender assessment and treatment information among all programs avoids costly duplication of assessments and contributes to the continuity of treatment.

*Offenders should have continuing care plans prior to transitioning between and from correctional agencies.

Changes brought about in treatment will quickly be lost if ongoing support and supervision are not provided. Before the offender leaves custody and the current treatment program, a plan should be made to address ongoing treatment needs, responsibilities of the offender and service providers, the expectations of the supervising official, and provisions for implementing and monitoring the plan.

ADDITIONAL RECOMMENDATIONS

- *Formalized agreements should be developed that detail areas of responsibility, services provided, and mechanisms for information exchange among state and local agencies in the correctional system and the treatment community.
- * Combined case planning should be accomplished among correctional and treatment agencies when working with the same substance-abusing offender, when transferring the offender from one agency to another, or when transferring the offender from one part of the correctional system to another.
- *Ongoing professional forums among correctional representatives and community treatment providers, especially at the policy-making level, should be held to address common concerns and issues.
- * Cross-training (training across disciplines and agencies) covering a wide array of treatment techniques, case management issues, and criminal justice concerns should be conducted on an ongoing basis for professionals and paraprofessionals working with substance-abusing offenders.

* A management information system, preferably automated, should be established and used within and across systems to monitor the delivery of appropriate substance abuse programming to offenders, collect data for program evaluation, and establish a rationale for additional interventions and staff.

Human Resources

GOAL: Recruit and retain qualified staff to provide substance abuse programming.

Qualified staff at all levels are essential for effective correctional substance abuse treatment. A shrinking pool of qualified individuals and the stressful nature of the work increases the difficulty of recruiting staff, but rather than accept lesser qualified staff, correctional systems must develop incentives and marketing strategies to recruit and retain the staff they need

Worker incentives should take into account the needs of the available work force, which now includes a greater number of women, minorities, and individuals unfamiliar with today's complex and sophisticated corrections environment. Some issues to be considered include the child care needs of working mothers, bilingual/cultural issues, and retraining of employees who have worked in other occupations.

* Develop a positive environment, including adequate compensation, that attracts and retains quality staff and providers.

Competitive salaries and benefits and continuing education opportunities are important incentives for attracting staff. Other incentives, such as on-site child care and career ladders, should be based on analysis of the needs of the work force in the area.

* Create an atmosphere of wellness across corrections and within each agency in order to attract and retain staff.

Wellness activities and attitudes create an environment that is incompatible with many negative habits and behaviors, including substance abuse. Wellness programs promote employees' physical and mental well-being and result in reduced absenteeism, fewer compensation claims, stronger physical condition, enhanced productivity and morale, and greater immunity to debilitating or degenerative diseases. Typical wellness activities address nutrition and weight management, substance abuse prevention, physical fitness, mental health, stress management, smoking cessation, and interpersonal relationships.

* Implement employee assistance programs.

Stress, family and relationship difficulties, and substance abuse can affect employees' performance and lower their efficiency or productivity. Ready availability of short-term counseling and information and referral for staff and their families not only helps employees deal with their problems but also protects the organization's investment in its personnel.

* Develop guidelines for selecting qualified staff and contract employees, including opportunities for hiring recovering substance abusers.

Correctional substance abuse program directors should have graduate-level professional training and professional knowledge of human behavior; professional credentials and state and national certification, where appropriate; and experience with substance abusers, offenders, and the correctional system. Direct service providers should meet all requirements of a recognized substance abuse certification process. Qualified recovering substance abusers, with appropriate training and experience. can also be assets to treatment programs.

* Ensure that training addresses the needs of all agency staff and contract providers.

All agency staff should receive training in the signs of substance abuse and in the special supervision and control techniques required for substance-abusing offenders in both community and institutional programs. Treatment staff and contract providers should remain current in treatment methodologies, and contract staff should become knowledgeable about the system in which they are offering services. Key decision makers also must be educated regarding correctional substance abuse treatment programs. ADDITIONAL RECOMMENDATIONS

- *Model standards for staff qualifications in correctional substance abuse programs should be promulgated nationally for use at the state and local levels.
- *Agencies should assure that staff meet all established criteria for employment and receive quality orientation and training.
- * Cross-training (training across disciplines and agencies) should be an integral part of any professional or paraprofessional substance abuse training program.

Environment

GOAL: Develop a safe, drug-free, productive environment that promotes offender change and provides safety for staff, offenders, and the public.

A secure and orderly environment is a prerequisite for an effective correctional treatment program. Individuals must feel secure in seeking treatment, providers must feel confident of their own safety, and citizens must be assured that public safety is a paramount concern. In the community, appropriate supervision, accountability, good programming, and urine testing contribute to a safe, orderly environment.

* Provide clear expectations with respect to substance abuse for offenders, staff, and service providers and impose swift sanctions/punishments for rule violations.

Under no circumstances should the use of illegal substances by offenders or staff be tolerated in any correctional setting. Rules and regulations addressing the use of illegal substances, including the potential consequences for such use, should be communicated clearly both verbally and in writing. Conduct involving the use of illegal substances should be dealt with swiftly, firmly, and impartially.

* Implement drug testing.

With a comprehensive drug testing program, offenders should be tested under specified circumstances that might include suspicion of drug use, prior conditions of drug treatment programs or probation or parole, or return from community activities. For staff, pre-employment testing and testing for cause have been upheld in the courts, but the issue of random testing has not been settled, therefore, testing procedures for staff may vary among jurisdictions. All testing should be monitored and should be conducted in accordance with accepted scientific and technical guidelines.

* Develop a comprehensive contraband control strategy.

Comprehensive policy statements should define items considered contraband, detail the consequences for possessing them, and inform visitors and staff of the consequences of introducing illegal substances into correctional settings. Searches should be conducted of offenders' living quarters and all other institutional areas, as appropriate.

ADDITIONAL RECOMMENDATION

* Drug-free workplace strategies should be developed, integrated into agency policy, and implemented at every level of an organization.

Accountability

GOAL: Apply accountability measures to substance abuse programs.

The worth of correctional substance abuse programs can be measured in terms of the need for the program, the program's integrity, and its results. Because of differences among types of substance abusers and the variable effectiveness of treating dependence on different drugs, treatment personnel must determine the specific **needs** of the target group addressed by specific programs. Program **integrity** - the manner in which it is implemented-is best measured by process evaluation, which assesses the degree to which the program's activities are consistent with its stated intentions. Program **results** include its outcomes, or changes in client behavior, including length of abstinence from drugs, lack of relapse, and length of participants' employment.

The definition of offenders' failure in programs should take into account the difficulty of changing long-term, heavy drug use and the seriousness of the behavior that might be considered a failure (e.g., a new felony arrest for violence versus program rule violations). In general, the following principles should be considered when designing accountability measures:

- Multiple accountability measures are more useful than single measures;
- Simple measures can be indicators of program performance:
- Objective measures are superior to subjective measures; and
- Program expectations should be realistic.

* Establish measurable goals for each program against which effectiveness can be measured.

Program goals identify the problems the program seeks to address and provide a framework for assessing program performance. Specific, measurable goals set thresholds for determining whether a program is successful.

* Conduct process evaluations of all programs.

Process evaluations enable reviewers to determine how well the program has been implemented and if it is being implemented as intended. Process evaluations examine the plausibility of the program design, staff skills and performance in terms of the programs' guidelines, and program documentation.

*Establish state and/or federal evaluation programs to study selected treatment strategies.

A commitment to evaluation is needed to guarantee the optimal effectiveness of current and future substance abuse treatment initiatives, especially evaluation of the types of treatment strategies that are effective with specific types of substance-abusing offenders. The responsibility for improving the treatment database falls equally on federal and state governments.

ADDITIONAL RECOMMENDATIONS

- *Accountability measures should be designed and integrated into every correctional substance abuse intervention, preferably at the initial stages of program design.
- * Practitioners and policymakers should use the results of program evaluations to guide them in designing more effective substance abuse delivery service systems, contraband control strategies, and other related programming.
- * Agencies with limited resources should, at a minimum, conduct process evaluations on substance abuse programs to evaluate whether the program guidelines, policies, and procedures are being followed.

*Technical assistance and training resources should be available to help agencies design and implement program evaluations. *Resources should be made available to an agency (eg., National Institute of Corrections) that has a national perspective on corrections and substance abuse programming to expand and enhance its services and training to meet the correctional needs for current substance abuse information unique to offender populations.

Enhanced services would assist federal, state, and local program managers and administrators in obtaining the most current substance abuse literature and program information. Operationally, this agency should disseminate needed information to a targeted correctional constituency on a regular, ongoing basis, rather than by request only.

An enhanced opportunity for training of state and local correctional practitioners would assist them in more effectively managing substance abuse issues and provide the opportunity for a unified national strategy.

* Each state should develop a correctional substance abuse program action plan.

A correctional substance abuse action plan would guide the development and implementation of programs for substance- abusing offenders throughout state and local correctional jurisdictions.

* Correctional substance abuse treatment program managers and administrators are encouraged to develop linkages with state and local public and private resources.

Entities such as substance abuse treatment programs, community colleges, universities, private businesses, civic associations, and other private organizations can frequently provide needed resources, such as interns and volunteers who may have needed skills in substance abuse treatment, programming, and evaluation.